



1713

PATENTS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EX. 9.
3/17/03
#14

In re Application of:

CHANG, et al.

Serial No. 09/814,403

Filed: March 22, 2001

For: WATER-DISPERSIBLE, CATIONIC
POLYMERS, A METHOD OF MAKING
SAME AND ITEMS USING SAME

Art Unit: 1713

Examiner: Donald R. Wilson

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Not in Compliance
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

The citation of information on the attached Form PTO/SB/08A, "List of Art Cited by Applicant" is made pursuant to 37 C.F.R. §§ 1.97 and 1.98. A copy of the listed items is enclosed.

Certificate

It is hereby certified, under Rule 97(e)(1), that each item of information contained in the accompanying Supplemental Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC, 20231, on February 20, 2003.

David E. Wigley - Reg. No. 52,362

not more than three months prior to the filing of the statement. A copy of the International Search Report is also attached. Any references listed in the International Search Report but not included in the attached PTO/SB/08A have been previously submitted.

The citation of this information does not constitute an admission that any of the materials are available as a reference or of priority, or a waiver of any right applicant may have under applicable statutes, Rules of Practice in patent cases, or otherwise.

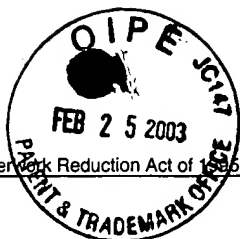
Respectfully submitted,



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Our Docket: 44040-256047 (11302-1190)

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Substitute for Form 1449/A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known	
		Application Number	09/814,403
		Filing Date	March 22, 2001
		First Named Inventor	Chang et al.
		Group Art Unit	1713
		Examiner Name	Donald R. Wilson
Sheet 1	of 1	Attorney Docket Number	11302-1190 (44040-256047)

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			

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GROUP 1700**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	1	-	JP 04 309510		Sumitomo Chem Co Inc	11-02-1992		
	2	-	JP 63 270893		Harima Chemicals Inc	11-08-1988		
	3	-	JP 04 046915		Harima Kasei KK	02-17-1992		
	4	-	JP 11 279983		Arakawa Chem Ind Inc	10-12-1999		
	5	-	EP 0 416 427		Hoechst AG	03-13-1991		
	6	-	EP 0 634 284		Canon KK; Dynic Corp (JP)	01-18-1995		
	7	-	WO96/06119		Stockhausen Chem Fab GMBH; Dahmen Kurt (DE)	02-29-1996		
	8	-	JP 52 128937		Nagoya Yuagaku Kogyo KK	10-28-1977		

OTHER INFORMATION - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²

Examiner Signature		Date Considered	
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¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent document, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached.